CONSORTIA STRATEGY ISSUE MANAGEMENT

One of the processes and procedures that is currently maintained by SAWS oversight includes the SAWS Issue Tracking process. Issues pertaining to any one of the four SAWS consortia projects are recorded and tracked in a common database and shared among the consortium liaisons. The existing issue tracking process comprises four phases: discovery, recordation, review and escalation.

Discovery

Consortium liaisons are responsible for identifying and tracking consortium level issues having SAWS strategy level impacts. The liaisons collect issues from a variety of formal and informal information sources. Some of these sources include:

- consortium, stakeholder and State level meetings;
- review of project reporting documentation, project plans, risk reports and deliverables; and
- upon referral from project, IV&V and State staff

Once an issue is identified, consortium liaisons record in the SAWS Oversight Issue database.

Recordation

The following processes govern issue recordation:

- State oversight staff for LEADER, CalWIN, ISAWS and C-IV use the same database to record issues pertinent to SAWS strategy
- The database is also used to track comments and issues for project deliverables
- All menu fields have a form that can be used by the user to add new items
- A standard reporting form was created to allow a user to select which elements to print on the report and the sort order
- The databases reside on the common drive under the consortia name (e.g., h:\CPU\(consortium name (e.g., WCDS))\Data Base)
- Fields within the database include the following:
  - ID - A unique, system generated, ID number
  - Description - Description of the issue
  - Source - Name of the source (agency)
  - Submitted by - Person who submitted the issue
  - Assigned to - Person assigned to track/resolve the issue (State level)
  - Action taken – Details the actions taken to address the issue. The “action taken” comments will be recorded and maintained for auditing purposes
  - Disposition – Describes in detail how the issue was addressed

- If the issue was generated from a deliverable comment the deliverable ID will be entered along with a message at the top of the automated form identifying that a "Deliverable Comment Exists"
    - The form will also include the appropriate information from the deliverable comment (automatically generated when a subsequent issue is started from the deliverable comment form)
- Reports can be generated on any of the fields

Attached is the screen print for the automated Issue form. There are additional detail screens, but this is the primary form that is used to record, track and close SAWS Strategy issues. Note that the messages to be generated at the top of the Issues and Deliverable screens have not been added.

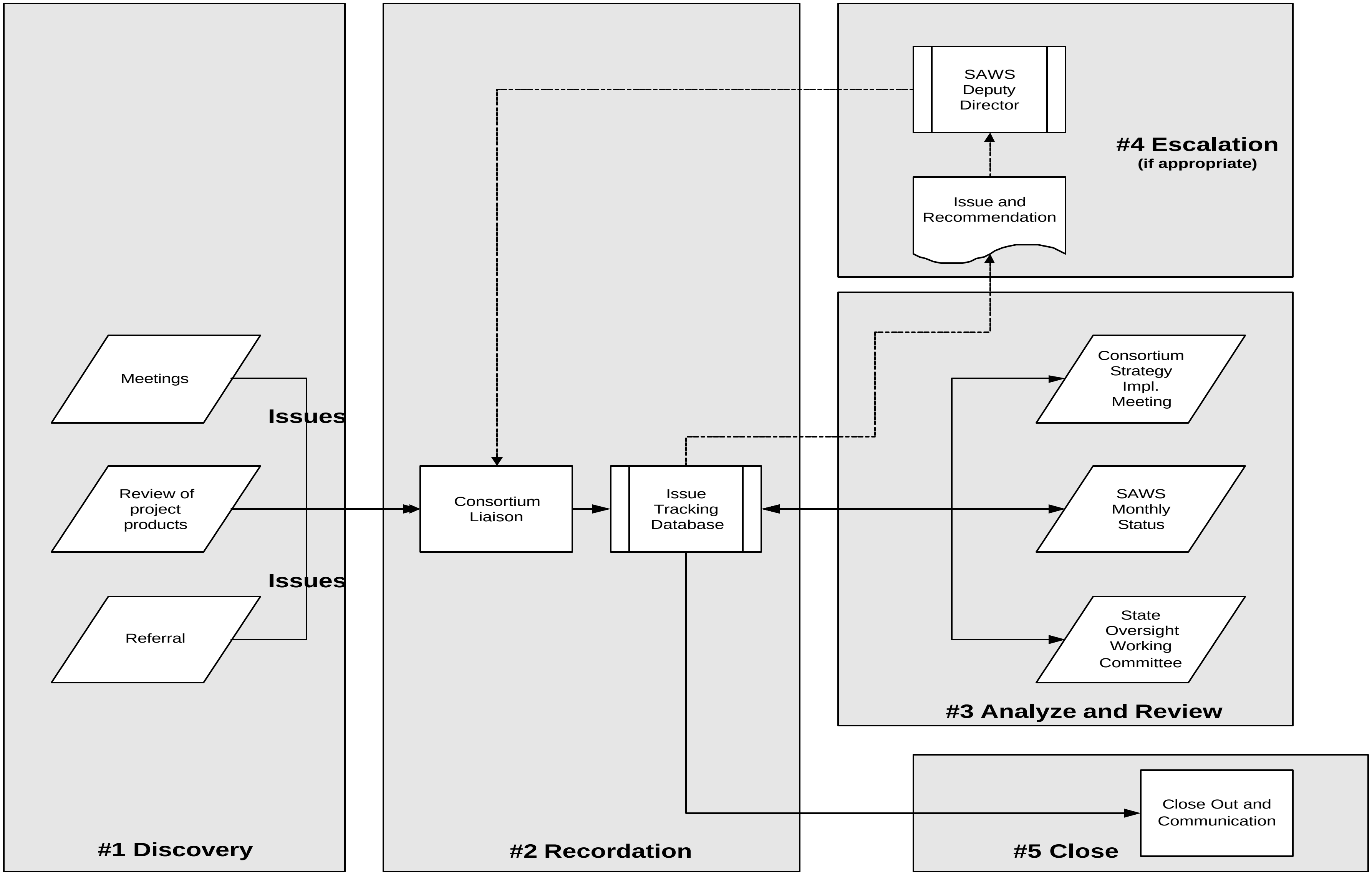
Review and Escalation Procedures

After entry, issues are reviewed and discussed by the consortium liaisons during the monthly SAWS Oversight Unit meetings. If a resolution is reached at this level, the information is added to the issue tracking database, the issue is closed and the solution is shared with appropriate internal and external stakeholders.

If an issue has a broader impact, the issue may be presented and discussed at one of several stakeholder meetings. These meetings include the Consortium Strategy Implementation meeting that is attended by a wide range of internal and external project stakeholders, the State Oversight Working Committee and the SAWS Monthly Status meeting with the California Department of Social Services and the California Department of Health Services. If resolution is reached at this level, the automated issue form is updated, the issue is closed and the solution is shared with appropriate stakeholders.

In some instances, an issue may require escalation in order to achieve resolution. In these cases, the issue will be presented to the SAWS Deputy Director, along with a recommendation, for resolution. Escalation activities will be tracked on the automated issue form. Upon resolution, the automated issue form will be updated, the issue will be closed and the solution communicated with the appropriate stakeholders.

The Issue Tracking process is presented in the following flow chart.


SAWS
Deputy
Director
#4 Escalation
(if appropriate)
Issue and
Recommendation
Meetings
Issues
Review of
project
products
Issues
Referral
Consortium
Liaison
Issue
Tracking
Database
Consortium
Strategy
Impl.
Meeting
SAWS
Monthly
Status
State
Oversight
Working
Committee
#3 Analyze and Review
Close Out and
Communication
#1 Discovery
#2 Recordation
#5 Close

Mechanisms for Maintaining Process and Procedures

The SAWS LAN Support Unit maintains the Issue Tracking database. The SAWS Oversight staff will periodically review the documented processes to find ways to improve their efficiency and accuracy. If appropriate, proposed changes will be presented to the SAWS Oversight unit and upon team acceptance, the change will be implemented and the SAWS LAN Unit will update process documentation and the new processing employed.

Updates to the Issue Tracking process are communicated directly to the SAWS oversight team. Manner of communication has included general discussions at the monthly SAWS Oversight Unit meetings, e-mail or hard copy memos.

The SAWS oversight team has also developed an approach to ensure staff familiarity with the Issue Tracking process and database.

A User Guide has been developed by the SAWS LAN Support Staff to provide SAWS oversight staff with initial and ongoing training. The guide includes a general description of the database, descriptions and definitions of each field, how to enter the data, how to add an item to a drop down menu for all fields, and how to “delete” a field or record. While there is a delete function for fields and records, it only removes data from the user view. All deleted information remains in the database tables. Arlene Mendibles and a member of the SAWS technical support team will provide initial training, if needed. Ongoing training will be done one-on-one by a member of the SAWS Oversight Unit.

The guide will also include a section on reports. This section describes how to generate a report, how to use the form to create a report with the appropriate criteria, and how to set sort criteria.

Subsequent changes to the Issue Tracking database will generate an update to the User Guide.

Changes to the database will be initiated by SAWS oversight staff and executed by SAWS technical support using standard change management methodology. Once all of the users agree a change should occur (new data element, new report structure) a request will be sent to the technical support manager via e-mail. The request will include a description of the change, a primary and secondary contact, a due date for the change, and the reason for the change. The manager will assign the request to the appropriate staff person and the SAWS oversight contact will work with technical support to answer questions, identify criteria, etc. When the change has been completed, tested, and the User Guide updated technical support will notify SAWS oversight via e-mail that the requested change is in production.